

08/28/01  
j1003 U.S. PTOPTO/SB/05 (03-01)  
Approved for use through 10/31/2002. OMB 0651-0032JC997 U.S.P.T.O.  
09/93976708/28/01  
Barcode

# UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

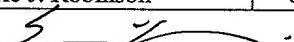
Attorney Docket No.	1740756-2358
First Inventor	Shunpei YAMAZAKI
Title	SEMICONDUCTOR DEVICE AND METHOD OF FABRICATING SAME
Express Mail Label No.	

**APPLICATION ELEMENTS**

See MPEP chapter 600 concerning utility patent application contents.

- |  |  |
|--|--|
| 1. <input checked="" type="checkbox"/> Fee Transmittal Form (e.g., PTO/SB/17)<br><i>(Submit an original and a duplicate for fee processing)</i>  | 7. <input type="checkbox"/> CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)  |
| 2. <input type="checkbox"/> Applicant claims small entity status.<br>See 37 CFR 1.27.  | 8. Nucleotide and/or Amino Acid Sequence Submission<br><i>(if applicable, all necessary)</i>   |
| 3. <input checked="" type="checkbox"/> Specification [Total Pages 20]<br><i>(preferred arrangement set forth below)</i>  | a. <input type="checkbox"/> Computer Readable Form (CRF)   |
| - Descriptive title of the invention   | b. Specification Sequence Listing on:  |
| - Cross Reference to Related Applications  | i. <input type="checkbox"/> CD-ROM or CD-R (2 copies; or   |
| - Statement Regarding Fed sponsored R & D  | ii. <input type="checkbox"/> paper   |
| - Reference to sequence listing, a table, or a computer program listing appendix   | c. <input type="checkbox"/> Statements verifying identity of above copies  |
| - Background of the Invention  |  |
| - Brief Summary of the Invention   |  |
| - Brief Description of the Drawings <i>(if filed)</i>  |  |
| - Detailed Description   |  |
| - Claim(s)   |  |
| - Abstract of the Disclosure   |  |
| 4. <input checked="" type="checkbox"/> Drawing(s) (35 U.S.C. 113) [ Total Sheets 6]  |  |
| 5. Oath or Declaration [ Total Pages 3]  |  |
| a. <input type="checkbox"/> Newly executed (original or copy)  | 9. <input type="checkbox"/> Assignment Papers (cover sheet & document(s))  |
| b. <input checked="" type="checkbox"/> Copy from a prior application (37 CFR 1.63(d))<br><i>(for continuation/divisional with Box 18 completed)</i>  | 10. <input type="checkbox"/> 37 CFR 3.73(b) Statement <input type="checkbox"/> Power of Attorney<br><i>(when there is an assignee)</i>       |
| i. <input type="checkbox"/> DELETION OF INVENTOR(S)<br>Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b)  | 11. <input type="checkbox"/> English Translation Document <i>(if applicable)</i>   |
| 6. <input checked="" type="checkbox"/> Application Data Sheet. See 37 CFR 1.76   | 12. <input checked="" type="checkbox"/> Information Disclosure Statement (IDS)/PTO-1449 <input type="checkbox"/> Copies of IDS Citations     |
| 18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76.  | 13. <input type="checkbox"/> Preliminary Amendment   |
| <input checked="" type="checkbox"/> Divisional of prior application Serial No.: 09/094,345 filed June 10, 1998.  | 14. <input checked="" type="checkbox"/> Return Receipt Postcard (MPEP 503)<br><i>(Should be specifically itemized)</i>                       |
| Prior application information: Examiner: L. Schillinger Group / Art Unit: 2813   | 15. <input type="checkbox"/> Certified Copy of Priority Document(s)<br><i>(if foreign priority is claimed)</i>                               |
| For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts. | 16. <input type="checkbox"/> Nonpublication request under 35 U.S.C. 122(b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent. |
|  | 17. <input type="checkbox"/> Other: _____  |

**19. CORRESPONDENCE ADDRESS**

<input checked="" type="checkbox"/> Customer Number or Bar Code Label	22204 <i>(Insert Customer No. or Attach bar code label here)</i>	or <input checked="" type="checkbox"/> Correspondence address below			
Name	Eric J. Robinson				
Address	NIXON PEABODY LLP 8180 Greensboro Drive, Suite 800				
City	McLean	State	VA	Zip Code	22102
Country	United States	Telephone	(703) 790-9110		Fax (703) 883-0370
Name (Print/Type)	Eric J. Robinson	Registration No. (Attorney/Agent)	38,285		
Signature			Date	August 28, 2001	

# FEE TRANSMITTAL FOR FY 2001

*Patent fees are subject to annual revision.*

**TOTAL AMOUNT OF PAYMENT**

<i>Complete if Known</i>	
Application Number	
Filing Date	August 28, 2001
First Named Inventor	Shunpei YAMAZAKI
Examiner Name	L. Schillinger
Group Art Unit	2813
Attorney Docket No.	740756-2358

## METHOD OF PAYMENT

1.  The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number

Deposit Account Name

- Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17

- Applicant claims small entity status. See 37 CFR 1.27

2.  Payment Enclosed:

- Check  Credit Card  Money Order  Other

## FEE CALCULATION

### 1. BASIC FILING FEE

Large Entity Fee Code	Fee (\$)	Small Entity Fee Code	Fee (\$)	Fee Description	Fee Paid
101	710	201	355	Utility filing fee	<input type="text" value="\$710"/>
106	320	206	160	Design filing fee	<input type="text"/>
107	490	207	245	Plant filing fee	<input type="text"/>
108	710	208	355	Reissue filing fee	<input type="text"/>
114 <sup>#</sup>	150	214	75	Provisional filing fee	<input type="text"/>
<b>SUBTOTAL (1)</b>				<b>\$710.00</b>	

### 2. EXTRA CLAIM FEES

Total Claims	Extra Claims	Fee from below	Fee Paid
12	-20** = 0	X \$18	= <input type="text"/>
Independent Claims	2	-3** = 0	X \$80 = <input type="text"/>
Multiple Dependent		\$270	= <input type="text"/>

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES

Large Entity Fee Code	Fee (\$)	Small Entity Fee Code	Fee (\$)	Fee Description	Fee Paid
105	130	205	65	Surcharge – late filing fee or oath	<input type="text"/>
127	50	227	25	Surcharge – late provisional filing fee or cover sheet	<input type="text"/>
139	130	139	130	Non-English transaction	<input type="text"/>
147	2,520	147	2,520	For filing a request for <i>ex parte</i> reexamination	<input type="text"/>
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	<input type="text"/>
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	<input type="text"/>
115	110	215	55	Extension for reply within first month	<input type="text"/>
116	390	216	195	Extension for reply within second month	<input type="text"/>
117	890	217	445	Extension for reply within third month	<input type="text"/>
118	1,390	218	695	Extension for reply within fourth month	<input type="text"/>
128	1,890	228	945	Extension for reply within fifth month	<input type="text"/>
119	310	219	155	Notice of Appeal	<input type="text"/>
120	310	220	155	Filing a brief in support of an appeal	<input type="text"/>
121	270	221	135	Request for oral hearing	<input type="text"/>
138	1,510	138	1,510	Petition to institute a public use proceeding	<input type="text"/>
140	110	240	55	Petition to revive – unavoidable	<input type="text"/>
141	1,240	241	620	Petition to revive – unintentional	<input type="text"/>
142	1,240	242	620	Utility issue fee (or reissue)	<input type="text"/>
143	440	243	220	Design issue fee	<input type="text"/>
144	600	244	300	Plant issue fee	<input type="text"/>
122	130	122	130	Petitions to the Commissioner	<input type="text"/>
123	50	123	50	Processing fee under 37 CR 1.17(q)	<input type="text"/>
126	180	126	180	Submission of Information Disclosure Stmt	<input type="text"/>
581	40	581	40	Recording each patent assignment per property (times number of properties)	<input type="text"/>
146	710	246	355	Filing a submission after final rejection (37 CFR § 1.129(a))	<input type="text"/>
149	710	249	355	For each additional invention to be examined (37 CFR § 1.29(b))	<input type="text"/>
179	710	279	355	Request for Continued Examination (RCE)	<input type="text"/>
169	900	169	900	Request for expedited examination of a design application	<input type="text"/>
Other fee (specify) _____					

\* Reduced by Basic Filing Fee Paid

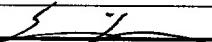
**SUBTOTAL (3)**

\$

\*\*or number previously paid, if greater; For Reissues, see above

## SUBMITTED BY

Complete (if applicable)

Name (Print/Type)	Eric J. Robinson	Registration No. (Attorney/Agent)	38,285	Telephone	(703) 790-9110
Signature				Date	August 28, 2000